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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/039,031	01/04/2002	David A.E. Wall	YOZO118402	2310

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EXAMINER

GURSHMAN, GRIGORY

ART UNIT PAPER NUMBER

2132

DATE MAILED: 07/01/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

<b>Office Action Summary</b>	Application No. 10/039,031	Applicant(s) WALL, DAVID A.E.	
	Examiner Grigory Gurshman	Art Unit 2132	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --  
**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☒ Responsive to communication(s) filed on 04 January 2002.
- 2a) ☐ This action is **FINAL**.                      2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 1-45 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-45 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 04 January 2002 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All    b) ☐ Some \*    c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

- |   |   |
|---|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)   | 4) <input type="checkbox"/> Interview Summary (PTO-413)<br>Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)  | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152)             |
| 3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)<br>Paper No(s)/Mail Date <u>8/27/02, 7/31/02</u> . | 6) <input type="checkbox"/> Other: _____  |

*Handwritten marks:* A large stylized signature or mark on the left, and a smaller mark resembling "W" or "M" in the center.

## DETAILED ACTION

### ***Claim Rejections - 35 USC § 102***

1. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

2. Claims 1, 3, 5-7, 9, 10, 12-19, 24-26, 30-37, 41-45 are rejected under 35 U.S.C. 102(b) as being anticipated by Komura (U.S. Patent No. 6,260,145 B1).

3. Referring to the instant claims, Komura discloses a system and method of authentication of digital information. Komura teaches that a server appends suitable verification data to an electronic document to be circulated through terminal units for persons in charge. Each terminal is allocated a unique function in advance and applies it to the verification data in turn when receiving the document. Upon receipt of the document that has been circulated through the persons in charge, the server examines the function-applied value appended to the document to determine whether the document has been circulated correctly through the persons in charge, or via the correct route (see abstract and Fig. 1).

4. Referring to the independent claim 1, the limitation “obtaining an electronic document corresponding to the request from the sender” is met by obtaining the electronic document from the document storage unit (31 in Fig. 2). The limitation “processing the electronic document, wherein processing the electronic document

includes encrypting the electronic document with an encryption key corresponding to the designated at least one recipient" is met by units 25, 23 and 26 (Fig. 2) which are used for digitally signing the document with the key corresponding to a particular recipient (units 12 -14). The limitation "establishing a communication channel with the designated at least one recipient and transmitting the processed electronic document to the designated at least one recipient" is met by transmitting the electronic documents through the interface (21) of the server to the interfaces 41, 51 and 61 of the recipient terminals. Komura inherently teaches the limitation "the sender and the designated at least one recipient do not exchange encryption keys" by virtue of teaching the public key encryption system (see column 5, lines 15-20), which does not use exchange of encryption keys.

6. Referring to the independent claim 19, the limitation "at least one recipient computing device corresponding to an identifiable communication channel" is met by personal terminal units 12-14 in Fig. 2. The limitation "a document processing server, operable to establish secure communication with the sender computing device and the at least one recipient computing device" is met by server in communication with document storage unit (31) and the recipients (12-14 in Fig. 2). The limitation "document processing server processes an electronic document and transmits the processed electronic document between the sender computing device and the recipient computing device" is met by units 25, 23 and 26 (Fig. 2) which are used for digitally signing the documents from the sender (storage unit 31) with the key corresponding to a particular recipient (units 12 -14). Komura inherently teaches the limitation "without the

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sender computing device and the at least one recipient computing device exchanging encryption keys" by virtue of teaching the public key encryption system (see column 5, lines 15-20), which does not use exchange of encryption keys.

7. Referring to the independent claim 37, the limitation "an interface component operable to establish secure communication with the sender computing device and the recipient computing device without requiring exchange of encryption keys between the sender computing device and the recipient computing device" is met by server having the interface 21 (Fig. 2). The limitation "a document processing component operable to process document requests from the sender computing device and append at least an electronic signature corresponding to a sender " is met by signature generating unit 23 and units 25 and 26 and column 5, lines 9-10.

8. Referring to claim 3, Komura teaches sending a signed (i.e. encrypted) document.

9. Referring to claims 5, 14, 24, 35, 45 , Komura teaches appending an electronic signature to the electronic document (see column 5, lines 9-10).

10. Referring to claims 6, 25, Komura inherently teaches encrypting the electronic signature corresponding the sender with a sender specific key, because Kimura teaches encrypting the signature with the sender's key of the public key pair.

11. Referring to claims 7, 9, 10, 26, 30, 34, 42, Komura teaches the use of the identifier (see Fig. 6).

12. Referring to claims 15, 16, and 46 Komura explicitly teaches encrypting documents designated for different recipients (12-14 in Fig. 2).

13. Referring to claim 32, 43, 44, An teaches identifying the party using the password.

***Claim Rejections - 35 USC § 103***

14. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

15. Claims 2, 4, 8, 11, 20-23, 27-29, and 38-40 are rejected under 35 U.S.C. 103(a) as being unpatentable over Komura (U.S. Patent No. 6,260,145 B1) in view of An (U.S. Patent No. 6,715,073).

16. Referring to the instant claims, Komura discloses a system and method of authentication of digital information. Komura teaches that a server appends suitable verification data to an electronic document to be circulated through terminal units for persons in charge. Each terminal is allocated a unique function in advance and applies it to the verification data in turn when receiving the document. Upon receipt of the document that has been circulated through the persons in charge, the server examines the function-applied value appended to the document to determine whether the document has been circulated correctly through the persons in charge, or via the correct route (see abstract and Fig. 1).

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17. Komura, however, does not teach transmitting an electronic document via an Internet Web Browser over the connection established by secure socket layer protocol.

18. Referring to the instant claims, An discloses a secure server using public key registration and methods of operation. An teaches using the SSL-enabled WEB (Internet) browser used to send requests for the client to the web server (see Fig. 2). Therefore, at the time the invention was made, it would have been obvious to one of ordinary skill in the art to modify the system of authentication of digital information of Kimura by using the Internet Web browser and secure socket layer connection as taught in An. One of ordinary skill in the art would have been motivated to modify the system of authentication of digital information using the Internet Web browser and secure socket layer connection as taught in An for providing secure end-to-end communication system (see An, column 3, line 30).

19. Referring to claim 8, it is well known in the art to use hyperlinks for accessing websites. One of ordinary skill in the art would have been motivated to use hyperlink for accessing the website for using the standard http/: protocol.

20. Referring to claim 11, An teaches identifying the party using the password.

### ***Conclusion***

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Grigory Gurshman whose telephone number is (571)272-3803. The examiner can normally be reached on 9 AM-5:30 PM.

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If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Gilberto Barron can be reached on (571)272-3799. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

GG



Grigory Gurshman  
Examiner  
Art Unit 2132



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